

DATE: August 2000

TO: District Superintendents and Area Education Agency At-Risk Coordinators

FROM: Nina Carran, Chief, Bureau of Instructional Services

SUBJECT: **Dropouts and Dropout Prevention Guidelines Including At-Risk Children**

The guidelines for submitting applications for increased allowable growth for *Schools, Programs and Support Services for Dropouts and Dropout Prevention Including At-Risk Students* accompany this memorandum. Please note that these guidelines apply to the 2001-2002 school year. The Department of Education must receive applications by **November 1, 2000**.

The guidelines are also accessible via the Internet using the following address:

<http://www.state.ia.us/educate/grants/dropouts/index.html>

The guidelines allow for support services for children K-12. Consequently, the process complements the at-risk standard (281-12.5 (13), Iowa Administrative Code) and the district's potential to provide services for students at risk. Year-end evaluation formats are included with these guidelines to assist in planning evaluation initiatives before programs actually begin. The evaluation formats identify what will be expected for year-end reporting and include academics, personal/social development, and career/vocational development. The formats and guidelines for evaluation should be forwarded to persons responsible for programs to allow them time to establish processes for data collection before services actually begin.

An ICN conference on the grant application and year-end reporting format will be held **September 15, 2000 from 9 until 11 a.m.** The intent of the conference is to clarify questions and issues and allow input on application and evaluation procedures. The ICN sites are identified on the backside of this letter. Additional sites will not be added due to potential scheduling difficulties and limited budget. The session will be video taped. A limited number of copies will be made available through this office on a request basis.

Any questions regarding these guidelines should be directed to Dr. Raymond E. Morley at (515) 281-7697. **Please submit your applications by November 1, 2000, to:**

Dr. Raymond E. Morley  
Bureau of Instructional Services  
Iowa Department of Education  
Grimes State Office Building  
Des Moines, IA 50319-0146

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N. C.

Enclosures: 2001-02 Allowable Growth Guidelines  
21 Keys to Dropout Prevention  
NAEH CY National Conference  
National Dropout Prevention Conference

## INTRODUCTION

### SCHOOL DISTRICTS SUBMITTING APPLICATIONS UNDER CHAPTER 257.38-41, IOWA SCHOOL LAWS (PROGRAMS FOR DROPOUTS AND DROPOUT PREVENTION INCLUDING K-3 AT-RISK STUDENTS)

Continuing applications under 257.38-41 **are** required to be submitted each fiscal year. Some updating to the written narrative should be occurring locally to assure program relevance and proper/effective implementation.

Past reviews of submitted applications indicate a variety of concerns. The concerns are being shared with you as a reminder to update your local program(s). As well, the concerns are relevant to new applications.

#### Concerns

1. Administration involvement and local school board involvement are not specifically identified nor carried out. This leaves program personnel without leadership and the support they need to continue to improve services.
2. Staff Development plans are not based on staff needs as identified by staff, students, parents, administrators, and other significantly involved persons. Staff Development plans should be updated accordingly and made part of the budget. All staff should receive training related to dropout prevention initiatives.
3. Year-end evaluations require an assessment of student outcomes in the areas of academics, personal/social development, and career/vocational development. This requires the school to be somewhat specific about objectives and evaluation procedures in each of these areas. (See annual evaluation guidelines for specific ideas on behavior and activities that can be emphasized/evaluated.)
4. Students are capable of evaluating themselves and identifying needs. Evaluation procedures could be involving students much more in the actual process of self-assessment. (See ideas in the annual evaluation guidelines.)
5. Parents, students, employers, and service agency persons can be involved in assessing program implementations. As consumers, parents and students should be given opportunities to assess how services are delivered and whether they see or feel that they have been helped.
6. Advisory committees are intended to help improve services for students. Turnover of members is needed to assure diversity of input and the generation of new ideas. Advisory committees must be functional to be of any benefit. To be functional, some yearly plan is necessary.
7. At-risk students benefit greatly through expanded person-power and time given them. At least five areas could be considered to increase the person-power and time given at-risk youth without increasing your budget. They include: use of students to help other students; involvement of parents; involvement of all staff in serving at-risk students; involvement of service agency persons; and involvement of business and industry persons through mentorships, classroom activities, and incentive programs.
8. Students need assistance to transition from one education level to another. Often transition assistance requires an orientation to **learning requirements** (lecture vs. cooperative learning, group vs. individual work, creative interpretations vs. fact identification, etc.) and **personal/social demands** (changing classroom environments and classmates, individual responsibility for planning study time and keeping track of assignments, changing teachers for different subject areas, etc.).
9. Computer technology is allowing some local schools to individualize instruction and monitor student progress. **Some students** make significant gains via computer driven instruction.
10. All instructors can be involved in assisting at-risk students. Consider some of the following:
  - a. Deliberately select learning experiences with the greatest likelihood of success to minimize the possibility of failure.
  - b. Present information/directions using as many learning modalities as possible.
  - c. Teach study skills in the content of subject matter; utilize reviews in class incorporating the study skills.
  - d. Help all students review for tests, with specific attention given to those most likely to fail.
  - e. Include low achievers in class participation and encourage their interaction by using questioning techniques involving opinion and evaluation.
  - f. Provide in-class practice exercises with the specific objective to assist the most needy in the time provided.
  - g. Utilize computer programs for tutoring, remedial help, and additional instruction time.

- h. Engage peers in cooperative learning/tutoring.
- i. Send short, positive notes home, identifying student's success or short notes on how to help with homework.
- j. Once per week, over nine weeks contact one at-risk student to assure that someone cares about them as an individual.

The application contained herein responds to Iowa Code Supplement Section 257.38 (Appendix A) and Chapter 61, Iowa Administrative Code (Appendix B). The following principles have been identified to help you understand the application and approval process.

## **APPLICATION: GENERAL PRINCIPLES**

School districts may apply for increased allowable growth to serve returning dropouts and potential dropouts only if a total plan including services for both populations is proposed. (See Iowa Administrative Code, Chapter 61, 61.1(2) General Principles.)

Ideas for program planning are contained in “**Alternative Education: A Guide to Program Development**”, Iowa Association of Alternative Education for \$30, Ms. Becky Rosenquist, Basics and Beyond, 600 North 2<sup>nd</sup> Avenue West, Newton, Iowa 50208; “**Guidelines for Serving At-Risk Students, 1996**” and the “**At-Risk Chapter 12 Rubric**”, Bureau of Instructional Services, Iowa Department of Education.

Increased allowable growth may be granted to assist districts to absorb excess costs which result when separate schools, support services and/or specially designed programs are provided for potential dropouts, including students at risk and returning dropouts. Costs can be considered excess costs when those costs exceed the district cost per pupil for students served who are presently included in the district budget enrollment. Also, the total costs of a separate school, program and support service may be considered excess costs when it serves returning dropouts not presently included in the district’s budget enrollment.

**Applications should be submitted for support of new activities, existing activities that will be modified, and/or existing excess cost activities.**

**New Activities** — Any activity implemented for the first time by the application institution (LEAs).

**Modified Activities** — Any change being made in an alternative school, program or support service resulting in expanded or improved services and/or different instructional objectives and expected student outcomes.


**Existing Excess Cost Activities** — Any specially designed activity being implemented that is successful and may be threatened via deficiencies in the general budget.


Applications may be submitted by a local school district, jointly with other school districts or in cooperation with other educational agencies or related service providers.


**Applications must be submitted no later than November 1** to the Iowa Department of Education according to the format described in this packet.

The application narrative must sequentially follow “Guidelines for Completing the Program Plan Narrative for Returning Dropouts and Dropout Prevention” (Appendix C).

 **Submit five (5) copies of NEW applications.**

 **Submit five (5) copies of CONTINUING applications with major amendments — addition of new services and/or change in objectives and/or level (elementary, middle school, high school) of program implementation.**

 **Submit one (1) copy of CONTINUING applications with updated budgets and minor to no program adjustments (no change in objectives or levels of program implementation).**

 **Submission of annual applications, including a budget and written narrative, is necessary for continuing approval.**

All applications will be reviewed to ensure that complete and relevant information (Budget and all areas of Appendix C) has been provided. Districts will be notified of approval status by November 30. Districts with program plans that are not initially approved may submit a modified application by February 1.

The budget of an approved program for returning dropouts and dropout prevention for a school district, after subtracting funds received from other sources for that purpose, shall be funded annually on a basis of one-fourth or more from the district cost of the school district and up to three-fourths by an increase in allowable growth as defined in Section 257.41, Iowa Code. By February 15, the Iowa Department of Education will notify the state comptroller and the school budget review committee of the approved budget for each program. The state comptroller will establish a modified allowable growth for each district equal to the portion of the budget that is not funded from the district’s local budget. **Funds raised through this process must be used for expenditures as described in the proposed activities. Balances should be carried over and used to offset future costs and requests for increased allowable growth.**

Definitions of terms can be found in Chapter 61, Iowa Administrative Code (Appendix B) and in Appendix D of these guidelines. Additional definitions regarding the evaluation can be found in Appendix E of the annual evaluation guidelines pages 42-44.

2001-02 Increased  
Allowable Growth

# APPLICATION

Application Due Date:  
November 1, 2000

**INSTRUCTIONS:** Submit 5 copies of NEW Applications with Narrative  
Submit 5 copies of CONTINUING Applications with Major Amendments with Narrative  
Submit 1 copy of CONTINUING Applications with Minor or No Amendments with Narrative

(Refer to page 2 for definitions)

**PLEASE CHECK:**

- \_\_\_\_\_ New Application with **Narrative (5 copies)**  
\_\_\_\_\_ Continuing Application with Major Amendments with **Narrative (5 copies)**  
\_\_\_\_\_ Continuing Application with Minor or No Amendments,  
other than Budget along with **Narrative (1 copy)**

**SEND TO:**

Dr. Raymond E. Morley, Consultant  
Bureau of Instructional Services  
Iowa Department of Education  
Grimes State Office Building  
Des Moines, Iowa 50319-0146  
(515) 281-7697

**Section I. Basic Program Data**

**AEA:** \_\_\_\_\_

a. District Name: \_\_\_\_\_

b. Mailing Address: \_\_\_\_\_

County: \_\_\_\_\_

c. District Superintendent: \_\_\_\_\_

d. Local District Contact Person: \_\_\_\_\_

e. Position: \_\_\_\_\_

f. Contact's Telephone Number: (\_\_\_\_\_) \_\_\_\_\_ FAX: \_\_\_\_\_  
Area Code

E-mail Address: \_\_\_\_\_

g. List Target Grades for Dropout Prevention Activities: \_\_\_\_\_

h. List Target Grades for Activities for Returning Dropouts: \_\_\_\_\_

i. Use of Funds: **NOTE:** Check one or all—check mark indicates planned use of Allowable Growth funds

Elementary \_\_\_\_\_ Middle \_\_\_\_\_ High School \_\_\_\_\_

j. Total Program Budget (**Figure from line 6 Budget Proposal — Page 5**):

\_\_\_\_\_

k. Local Budget Share (**Total provided via local budget and other sources**):

\_\_\_\_\_


l. Allowable Growth Requested (**Figure from line 11 Budget Proposal — Page 5**):

\_\_\_\_\_

**The figures included in (k) Local Budget Share and (l) Allowable Growth Requested should total the figures in (j) Total Program Budget.**

## **Section II. Plan**

The specific procedures for developing the program plan narrative are contained in Appendix C.

 **NOTE:** A special form is included in Section III for submitting budget information, therefore, you do not need to cover budget in the program plan narrative.

**2001-02 Increased  
Allowable Growth**

<b>Application Due Date: November 1, 2000</b>
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**Section III. Budget**

**Budget Proposal  
for Schools, Programs and Support Services for  
Returning Dropouts and Dropout Prevention**

100	Salaries	_____
	Professional	_____
	Other	_____
200	Employee Benefits	_____
300	Purchased Professional Services	_____
	Dropout Prevention (All Staff)	_____
	Other	_____
400	Purchased Property Services	_____
500	Other Purchased Services	_____
600	Supplies	_____
700	Property	_____
800 - 900	Other Expenses	_____
	<b>TOTAL</b>	_____

➡ **NOTE:** The numbers beside the categories in the budget refer to object codes defined in the Uniform Financial Accounting System for local education agencies, the Iowa Department of Education, Web pages [http://www.state.ia.us/educate/publications/ufa\\_manual](http://www.state.ia.us/educate/publications/ufa_manual). The codes also appear in Appendix D of the same publication (July 1999 revision).

**Maximum Dropout Identification**


- Budget enrollment for budget year 2001-2002 No. \_\_\_\_\_
- Number and percentage of dropouts included in budget enrollment count (being served in existing alternatives) No. \_\_\_\_\_ %
- Number and percentage of potential dropouts (to be served in proposed programs, includes elementary at risk) No. \_\_\_\_\_ %
- Number and percentage of dropouts not included in budget enrollment count (to be served in proposed program) No. \_\_\_\_\_ %
- Total number and percentage of dropouts and potential dropouts (**5 percent maximum**) No. \_\_\_\_\_ %

➡ **NOTE:** All percentages should be calculated using the budget enrollment figure identified above.


**MAXIMUM "EXPECTED" ALLOWABLE GROWTH (STATE-WIDE ESTIMATE)**

1. District cost per pupil (DCPP) for 2001-02 \_\_\_\_\_
2. DCPP x **.4** x Number of dropouts included in the budget enrollment count for budget year (page 4, item #2) \_\_\_\_\_
3. DCPP x **.4** x Number of potential dropouts (includes elementary and secondary at risk) included in budget enrollment for budget year (page 4, item #3) \_\_\_\_\_
4. DCPP x **1.4** x Number of dropouts **not** included in budget enrollment but to be served in proposed program (page 4, item #4) \_\_\_\_\_
5. Maximum "expected" allowable growth (**add lines 2, 3 and 4**). (This figure represents an estimate of maximum expected costs based on excess costs of all existing alternative school programs in the state.) \_\_\_\_\_

**LOCAL ALLOWABLE GROWTH REQUEST**

6. Total budget figure from budget proposal (Budget "Total," page 4, Section III) \_\_\_\_\_
7. \*Revenue from other sources in budget proposal \_\_\_\_\_
8. Total budget less other sources (**subtract line 7 from line 6**) \_\_\_\_\_
9. Minimum that must come from local budget (**25 percent of line 8**) \_\_\_\_\_
10. Maximum allowable growth that can be approved under Section 257.41, Iowa Code (**subtract line 9 from line 8**) \_\_\_\_\_
11. Allowable growth requested (**should not be greater than the amount in line 10**).  If amount in line 11 is greater than the amount in line 5 (expected allowable growth), detailed information substantiating the costs should be included under need statements in the program description. \_\_\_\_\_

\*Revenue from state or federal aid programs such as Chapter 1, Chapter 2, etc., gifts, contributions, and private foundation aid applied directly to the proposed program; balances from previous years approved budgets for dropout and dropout prevention programs in which all allowable growth and local share was not expended.

 The amount approved for increased allowable growth should be applied to the appropriate line item of the General Fund School Budget Aid and Levy Worksheet for 2001-2002.



USE ONLY IF SUBMITTING A JOINT APPLICATION

Joint Applications

When two or more districts/agencies apply under a joint application, a total budget must be figured using information from each district/agency. The following information should be given or supplied **for each district**:

- a. District Name \_\_\_\_\_
- b. District Budget Enrollment (2001-02) No. \_\_\_\_\_
- c. Number and percentage of returning dropouts not presently included in district budget enrollment (students to be served by proposed program) No. \_\_\_\_\_ %
- d. Number and percentage of returning dropouts presently included in the district budget enrollment (students being served) No. \_\_\_\_\_ %
- e. Total number and percentage of returning dropouts No. \_\_\_\_\_ %
- f. Number and percentage of potential dropouts presently included in the district budget enrollment No. \_\_\_\_\_ %
- g. Total number and percentage of returning dropouts and potential dropouts included in the district budget enrollment No. \_\_\_\_\_ %
- h. District cost per pupil (2001-2002) \$ \_\_\_\_\_
- i. Purchase of service amount (this represents the total dollars that will be contributed to the proposed program by the local district after other sources are subtracted out—refer to budget form, Item 8 under Local Allowable Growth Request) \$ \_\_\_\_\_
- j. Local Share (enter **25 percent of [i]**, or more) \$ \_\_\_\_\_
- k. Request for increased allowable growth (**subtract (j) from (i)**) \$ \_\_\_\_\_

**Section IV.**

**ASSURANCES**

1. Identification of students shall be for determining the appropriateness of placement in a separate school, program, or support service for dropouts or dropout prevention.
2. The facilities are accessible and safe, and the equipment and materials are appropriate for the population to be served.
3. Representatives of area education agencies and other public and private agencies for whom roles are described in this plan have agreed to the roles that are indicated for themselves and their agencies.
4. Funds generated under this plan will be expended only for the purposes herein described, or described in Department of Education approved modifications of this plan.
5. All services, testing, and monitoring will be free of bias with regard to race, gender, religion, disability, age, marital status, and national origin.
6. The evaluation plan contained herein (or an improved version of it) will be kept on file in the district, along with evaluation reports made on the project, and will be available for review upon request.

Signature of district school board chairperson or executive officer:

\_\_\_\_\_  
Name

\_\_\_\_\_  
Position

\_\_\_\_\_  
Date

APPENDIX A

IOWA CODE

**SECTION 38. 257.38 PROGRAMS FOR RETURNING DROPOUTS AND DROPOUT PREVENTION.**

Boards of school districts, individually or jointly with boards of other school districts, requesting to use additional allowable growth for programs for returning dropouts and dropout prevention, shall annually submit comprehensive program plans for the programs and budget costs, including requests for additional allowable growth for funding the programs, to the department of education as provided in this chapter. The program plans shall include:

1. Program goals, objectives, and activities to meet the needs of children who may drop out of school.
2. Student identification criteria and procedures.
3. Staff in-service education design.
4. Staff utilization plans.
5. Evaluation criteria and procedures and performance measures.
6. Program budget.
7. Qualifications required of personnel administering the program.
8. A provision for dropout prevention and integration of dropouts into the educational program of the district.
9. A provision for identifying dropouts.
10. A program for returning dropouts.
11. Other factors the department requires.

Program plans shall identify the parts of the plan that will be implemented first upon approval of the application. If a district is requesting to use additional allowable growth to finance the program, it shall not identify more than five percent of its budget enrollment for the budget year as returning dropouts and potential dropouts.

**SECTION 39. 257.39 DEFINITIONS.  
AS USED IN THIS CHAPTER:**

1. “*Returning dropouts*” are resident pupils who have been enrolled in a public or nonpublic school in any of grades seven through twelve who withdrew from school for a reason other than transfer to another school or school district and who subsequently enrolled in a public school in the district.
2. “*Potential dropouts*” are resident pupils who are enrolled in a public or nonpublic school who demonstrate poor school adjustment as indicated by two or more of the following:
  - a. High rate of absenteeism, truancy, or frequent tardiness.
  - b. Limited or no extracurricular participation or lack of identification with school, including but not limited to, expressed feelings of not belonging.
  - c. Poor grades, including but not limited to, failing in one or more school subjects or grade levels.
  - d. Low achievement scores in reading or mathematics, which reflect achievement at two years or more below grade level.
3. Children in kindergarten through third grade who meet the definition of at-risk children adopted by the department of education.

**APPENDIX A**

**SECTION 40. 257.40 PLANS FOR RETURNING DROPOUTS AND DROPOUT PREVENTION.**

The board of directors of a school district requesting to use additional allowable growth for programs for returning dropouts and dropout prevention shall submit applications for approval for the programs to the department not later than November 1 preceding the budget year during which the program will be offered. The department shall review the program plans and shall prior to January 15 either grant approval for the program or return the request for approval with comments of the department included. An unapproved request for a program may be resubmitted with modifications to the department not later than February 1. Not later than February 15, the department shall notify the department of management and the school budget review committee of the names of the school districts for which programs using additional allowable growth for funding have been approved and the approved budget of each program listed separately for each school district having an approved program.

**SECTION 41. 257.41 FUNDING FOR PROGRAMS FOR RETURNING DROPOUTS AND DROPOUT PREVENTION.**

The budget of an approved program for returning dropouts and dropout prevention for a school district, after subtracting funds received from other sources for that purpose, shall be funded annually on a basis of one-fourth or more from the district cost of the school district and up to three-fourths by an increase in allowable growth as defined in Section 257.38. Annually, the department of management shall establish a modified allowable growth for each such district equal to the difference between the approved budget for the program for returning dropouts and dropout prevention for that district and the sum of the amount funded from the district cost of the school district plus funds received from other sources.

## APPENDIX B

## CHAPTER 61

SCHOOLS, PROGRAMS, AND SUPPORT SERVICES FOR  
DROPOUTS AND DROPOUT PREVENTION

[Prior to 9/7/88, see Public Instruction Department (670) CH 58]

**281—61.1(257) Scope and general principle.**

**61.1(1) Scope.** These rules apply to the provisions of separate schools, programs, and support services for returning dropouts and dropout prevention strategies authorized in Iowa Code Supplement sections 257.38 to 257.41.

**61.1(2) General principles.** Separate schools, programs and support services may be made available to eligible students by a school district, as a cooperative effort between school districts, and through cooperative arrangements between a school district and other educational agencies and related service providers. School districts can apply for increased allowable growth to serve returning dropout populations and potential dropouts only if the local plan includes both populations. Returning dropouts and potential dropouts are considered two distinct populations and shall be considered as such in the planning, implementation, and funding of programs. Separate schools, programs, and support services shall be implemented under timelines established by the school district.

**281—61.2(257) Definitions.** For the purpose of this chapter the following definitions apply.

*“At-risk” means* any identified student who is at-risk of not meeting the goals of the educational program established by the district as demonstrated by any one or combination of the following: functioning below chronological age in two or more developmental areas determined by an appropriate professional; having special circumstances such as foster care or being homeless; residing in a household where one or more of the parents or guardians have not completed high school or have been identified as a substance abuser; born to a parent who is under the age of 18; or born at biological risk such as low birth weight (under 1500 grams—approximately 3 pounds) or with a diagnosed medical disorder such as spina bifida or Down’s syndrome.

*“Department” means* the state department of education.

*“Dropout” means* a pupil who has been in membership in a school in any of grades seven through twelve at any time during the 12-month period from July 1 through the following June 30 who withdraws from such school for reason other than death or transfer to another school.

*“Other educational agencies” means* all in-state as well as out-of-state public or private education agencies excluding public school districts.

*“Other service providers” means* all public or private human service deliveries apart from education.

*“Outreach” means* seeking out dropouts or youth who have quit attending and participating in school activities to provide advice and encouragement and help organize needed services upon the approval of the person being contacted.

*“Potential dropouts” means* at-risk students enrolled in kindergarten to grade three or pupils who are enrolled in a public or nonpublic school program who demonstrate poor school adjustment as indicated by two or more of the following: high rate of absenteeism, truancy or frequent tardiness; no or limited extracurricular participation or lack of identification with school such as expressed feelings of not belonging; poor grades, such as failing in one or more school subjects or grade levels; low achievement scores in reading or mathematics which reflect two years or more below grade level.

*“Program” means* an established alternative class or environment within or apart from the regular school designed to accommodate specific student educational needs such as work related training, reading, mathematics, science, communication, social skills, physical skills, employability skills, study skills, or life skills.

*“Regular school” means* an established environment designed to provide a comprehensive education to the general populace and to which assignment of students is made more on the basis of geographical location than unique educational need.

*“Separate school,” means* an established environment apart from the regular school with policies and rules, educational objectives, staff, and resources designed to accommodate student needs and to provide a comprehensive education consistent with the goals established by the school district. Students attend via choice.

*“Support service” means* activities designed to help students complete a comprehensive education program within the regular school or separate school such as tutoring; counseling and advising; housing; child care; medical assistance; transportation; and diagnostics.

*“Withdraw” to withdraw from school means* to quit attending and participating in school activities and that a school official recognizes the withdrawal by recording the withdrawal date and reason for withdrawal.

**281—61.3(257) Development of a plan.** For the purpose of seeking approval for increased allowable growth, on or before November 1 of each year a school district must submit plans to the department to provide separate schools, programs, and support services or combinations thereof for the school year commencing the following July 1.

## APPENDIX B

**281—61.4(257) Program plan.** The following items shall constitute a program plan which must be filed with the department to qualify for additional allowable growth to provide for separate schools, programs and support services for returning dropouts and dropout prevention.

Content of the plan. The plan shall:

- 61.4(1)** Identify need for the school, program or support services.
- 61.4(2)** Identify objectives and expected student outcomes.
- 61.4(3)** Explain support services if applicable.
- 61.4(4)** Explain the evaluation procedure to be used in measuring program objectives and student outcomes.
- 61.4(5)** Explain the roles and responsibilities of staff.
- 61.4(6)** Specify provisions for the ongoing identification, assessment, evaluation, and placement of students.
- 61.4(7)** Specify staff development plans and other activities designed to address dropout prevention in the traditional school.
- 61.4(8)** Identify facilities and equipment to be used.
- 61.4(9)** Describe cooperative arrangements with other agencies or service groups.
- 61.4(10)** Include a budget based on forms provided by the department.
- 61.4(11)** Specify provisions for an advisory council.
- 61.4(12)** Describe the procedure for providing each student with a written personalized plan for completion of an education consistent with the goals and objectives of the local education agency and needs of the student.

**281—61.5(257) Responsibilities of school districts.**

**61.5(1) *Establishing need.*** An explanation shall be provided for why existing local programs and support services are not effective in reaching dropouts and potential dropouts. The explanation shall include but not be limited to:

- a.* Dropout rate for school district.
- b.* Numbers of students identified as needing a separate school, program or support service, or combinations thereof. The means of identification shall be described such as tests, records, professional judgments, and other. Other agency involvement in identification shall be specified.
- c.* Staff–student ratios and relations in traditional school.
- d.* Existing staff capabilities and training in addressing the needs of returning dropouts and potential dropouts.
- e.* Involvement and achievement of students in existing extracurricular activities.
- f.* Existing services or activities within the school directed at reaching the target population.
- g.* Existing agencies and support persons involved with target population outside the school.
- h.* The need for financial support beyond what is already available.

**61.5(2) *Identifying objectives and expected student outcomes.*** Each school district must include objectives for providing:

- a.* Minimum program as defined in Iowa Code section 256.11 and Iowa Administrative Code 281—11.5.
- b.* Personal and social development.
- c.* Career and vocational education.
- d.* Staff development for dropout prevention. At least one in-service shall be offered annually for all classroom teachers, administrators, and other school personnel in elementary and secondary schools within the school district to maintain and update understandings and skills about accommodating student needs. In addition, a staff development plan for personnel responsible for returning dropouts shall be provided.

**61.5(3) *Support services.*** Any or all of the following services to be provided students enrolled in the regular school program or separate school or program shall be described.

- a.* Orientation and transition services for students to adjust to programs.
- b.* Vocational assessment or educational diagnostics.
- c.* Counseling.
- d.* Work placement or placement in other educational institutions.
- e.* Follow-up.
- f.* Remedial, tutorial or supplemental instruction.
- g.* Transportation, childcare, housing, medical.
- h.* Family support services.

**61.5(4) *Evaluation.*** The school district shall give attention to the following guidelines in its evaluation design:

- a.* Evaluation shall be for the purpose of determining and improving program effectiveness.
- b.* Both cognitive and affective components of student development shall be evaluated.

APPENDIX B

- c. Personalized education plans must be in writing for each returning dropout and potential dropout and reviewed annually.
- d. Evaluation shall be age-appropriate and coincide with the objectives established for the separate school, program, and support service and for the students. The methods that are used to monitor progress shall be identified. Monitoring and testing instruments shall be kept on file within the school district.

**61.5(5) Roles and responsibilities of staff.** The responsibilities of staff, including instructors, paraprofessionals, peer helpers, clerical, guidance, and outreach shall be identified and the responsibilities related to program objectives. The administration and supervision of this activity shall be described. All districts and their administrators must be identified if this activity is jointly sponsored. The role and responsibility of other agency persons involved in the activity shall be described.

**61.5(6) Qualifications of program personnel.** All personnel supervising and providing services for returning dropouts and potential dropouts shall have pre-service or in-service training that is commensurate with the extent of their involvement in providing services.

**61.5(7) Staff utilization plan.** Staff shall be assigned to ensure a quality education by employing the following procedures:

- a. A designated person shall be responsible for the overall coordination throughout the school district. If a joint agreement exists, one person shall be responsible for the coordination between local education agencies as well as coordination within the locale of the separate school, program, and support service.
- b. The administrative, instructional, and support service staff shall work in cooperation with the regular school teachers as necessary to assess, plan, implement and evaluate outcomes.
- c. Time shall be made available to staff for coordination and in-service and to carry out professional responsibilities.

**61.5(8) Student identification procedures.** Students shall be placed in separate schools, programs, or support services in accordance with the following guidelines:

- a. Identification shall be for the purpose of determining the appropriateness of placement in a separate school, program, or support service for dropouts or dropout prevention rather than for categorically labeling a student.
- b. The decision to place a student in a separate school or program or to provide support services for a student shall be based on a comprehensive appraisal of the student; consideration of the nature of the available services; and an assessment of actual and potential opportunities within the student's regular school program.
- c. Multiple criteria shall be used in identifying students. Criteria will combine subjective and objective data, including data with direct relevance to program goals, objectives, and activities.
- d. In the event that the number of eligible students exceeds the capacity of available services, participants shall be selected according to greatest need as determined by multiple criteria used in identification.
- e. Each identified student's progress shall be reviewed at least annually to consider modifications in program or student placement.

**61.5(9) Facilities and equipment.** The facilities, equipment, and resources needed and available for providing services shall be indicated. Assurances that the facilities are accessible and equipment and materials are appropriate for the population to be served shall be provided.

**61.5(10) Budget.** When separate schools, programs, and support services are jointly provided by two or more school districts or by a school district in cooperation with other agency service providers, the budget shall specify the contribution of each cooperating agency and service provider. Funds generated through the process described in Iowa Code section 257.41 will be for expenditures directly related to providing the separate school, program and support services described in the submitted plan to the department. The following limits shall apply to the budget of the separate school, program and support services for returning dropouts and dropout prevention.

- a. No more than 5 percent of the district's budget enrollment shall be identified as returning dropouts and potential dropouts. Returning dropouts shall be identified with respect to whether they are included in the present budget enrollment.
- b. The maximum budget eligible for the separate school, program and support services or any combination thereof for returning dropouts not presently included in the district's budget enrollment shall approximate 1.4 of the district cost per pupil in addition to other sources. Allowable costs for returning dropouts presently included in the district's budget enrollment shall approximate .4 of the district's cost per pupil in addition to other sources.
- c. Indirect costs and costs for materials, supplies and equipment shall be part of the total budget.
- d. The dropout program budget, after subtracting out funds from other sources for that purpose, shall be funded on a basis of 25 percent or more from the district cost of the school district and up to 75 percent by an increased growth as defined in Iowa Code section 442.7.

**61.5(11) Advisory council.** All written plans shall include an advisory council made up of parents, students, teachers, administrators, businesspersons, and other interested persons. Where possible, other service providers should be represented on the advisory council to assure collaboration and ultimate cooperation. A plan of action for the council shall be included in the written application.

APPENDIX B

**281.61—61.6(257) Responsibilities of area education agencies.** Upon request and as provided for in Iowa Code sections 273.3 and 273.7, staff of the area education agency shall cooperate with local school districts. Cooperation may include but is not limited to:

- 61.6(1)** Assisting school districts in identifying dropout and potential dropout populations and the reasoning for such.
- 61.6(2)** Assisting in the development of alternative education strategies including dropout prevention and alternative strategies for returning dropouts.
- 61.6(3)** Providing assistance in forming collaborative efforts for joint partnership programs and in developing appropriate requests for department approval.
- 61.6(4)** Assisting in the planning and implementation of in-service for all persons involved in planning and implementing services for returning dropouts and potential dropouts.

**281—61.7(257) Responsibilities of the department.** The department shall:

- 61.7(1)** Provide forms to the school districts for submitting plans.
  - 61.7(2)** Provide technical assistance to school districts, other education agencies, and other service providers in the development of plans to serve returning dropouts and potential dropouts.
  - 61.7(3)** Perform reviews and approval of written plans not later than February 1 of each fiscal year.
  - 61.7(4)** Notify the department of management and the school budget review committee of the names of approved school districts by February 15 of each fiscal year.
  - 61.7(5)** Develop and administer a format for evaluation of separate schools, support services and programs. An annual evaluation report shall be filed with the department by administering agencies following the close of the regular school year.
  - 61.7(6)** Provide technical assistance to school districts and other education agencies in planning and designing pre-service and in-service training for all persons involved in planning and implementation of services for returning dropouts and potential dropouts.
  - 61.7(7)** Assign the necessary human resources for carrying out the responsibilities of the department.
- These rules are intended to implement Iowa Code Supplement sections 257.38 to 257.41.



APPENDIX C

**GUIDELINES FOR COMPLETING THE PROGRAM PLAN NARRATIVE  
FOR RETURNING DROPOUTS AND DROPOUT PREVENTION**

The application must sequentially follow the format described below. Each section of the application should address, but not be limited to, the areas listed.

**A. ABSTRACT**


1. Provide a one page or less summary of the program and/or support services to be provided. Include what is to be done, to what extent, for whom and when, and the expected outcomes.

**B. ESTABLISHING NEED** (See Example Format — Last Part of this Appendix)

1. Indicate the district dropout rate (annual percentages of students who drop out based on actual 7-12 enrollment); Identify the number of students that need additional assistance to succeed (Refer to “*Guidelines for Serving At-Risk Students*”, pages 5-7 for assistance on at-risk student identification) and the percentage of the total school population that at-risk represents. (Example: 123 students = 30% of total enrollment K-12.)
2. Explain why the local school programs have not been effective in reaching potential dropouts and returning dropouts. Include:
  - a. Staff-student ratios.
  - b. Percentage of students in extracurricular activities and whether more activities should be offered or efforts should be made to involve students in the existing activities.
  - c. Existing staff capabilities in addressing needs of potential dropouts (including elementary level students at risk) and returning dropouts and whether staff have expressed specific needs for training.
  - d. Existing services in the school directed at reaching potential dropouts (including elementary level students at risk), local early childhood services, and returning dropouts and whether these services need to be improved.
  - e. Other agency involvement or lack of involvement in reaching potential dropouts, including elementary level students at risk, and returning dropouts and whether this can be improved to assist students to succeed.
  - f. School policies and practices that may be contributing to student failure such as minimal parent involvement, retention of students in early elementary grades, lack of flexible scheduling, etc. (See “Inventory of Policies and Practices Related to Student Failure and Dropping Out,” Department of Education.)

**C. OBJECTIVES** (See Example Format — Last Part of this Appendix)

1. Include objectives for academic development. The minimum academic program for grades K-12 is required for all students. Instead of listing objectives separately include a statement that the academic program provided will be equivalent to the district’s elementary and/or secondary program and meets the minimum requirements identified in Chapter 256.11, Code of Iowa and Chapter 12, Iowa Administrative Code.
2. Include the objectives for personal and social development (these objectives must be stated and not assumed in statement under number 1 above). (See annual evaluation instruments, which include examples of outcomes to evaluate.)
3. Include objectives for career and vocational development (these objectives must be stated). (See annual evaluation instruments which include examples of outcomes to evaluate.)


 **NOTE:** Academic, personal/social, and career development activities can be incorporated into transition services such as pre-kindergarten orientation to prepare students for entry into new grade levels, programs, building, etc.

## APPENDIX C

4. Include objectives for staff development for dropout prevention—**must** be at least one activity annually for all district teachers, administrators, and other school personnel in elementary and secondary schools.
5. Indicate additional objectives for staff development for those persons serving returning dropouts and potential dropouts (including elementary level students at risk) as their major responsibility as full-time or supplemental staff.

### D. SUPPORT SERVICES

1. Describe all support services utilized in the program, including services beyond what is listed (See Appendix D for definitions).
  - 1.1 Orientation and transition services for students to adjust to programs
  - 1.2 Vocational Student appraisal/assessment
  - 1.3 Counseling
  - 1.4 Remedial, tutorial or supplemental instruction
  - 1.5 Placement—education/work
  - 1.6 Follow-up
  - 1.7 Transportation
  - 1.8 Family support services

 **NOTE:** If districts do not utilize one of the identified services, it should be indicated as such in the plan. Services left out will be questioned in the review procedure. Services utilized in dropout prevention should be indicated.


Evaluations on School-Based Youth Services Programs indicate the value of having community service agencies involved in assisting students and families. The following statements indicate how agencies benefit:

- a) Helps them to reach more at-risk students
- b) Improves scheduling and follow-up with students
- c) Improves show-up rates for students—keeping their appointments
- d) Helps coordination with each other
- e) Increases frequency of communication
- f) Opens up new ways to work together and increases opportunities to get grants

These statements are considered good reasons to try to involve multiple agencies in helping the school to better serve at-risk students. Each agency and organization in the community or region should be considered for involvement via advisory members and in providing services.

### E. EVALUATION (See Example Format — Last Part of this Appendix)

1. Describe the methods to be used to determine the progress of the planned activities.
2. Describe the methods to be used in evaluating student progress.

 **NOTE:** The evaluation must be congruent with the objectives. (Increased student success is expected from dropout prevention efforts such as improved attendance, improved retention of students, decreased truancy, etc.)

### F. AN INDIVIDUALIZED EDUCATION PLAN MUST BE DEVELOPED FOR EACH STUDENT AND REVIEWED ANNUALLY

1. Explain your plan for individualized education.

### G. ROLES AND RESPONSIBILITIES OF STAFF (See Example Format — Last Part of this Appendix)

1. Describe each staff position—responsibilities of staff must be congruent with the objectives and support services.

## APPENDIX C

2. Describe the roles and responsibilities of all administrators (curriculum coordinator, vocational education director, principal, superintendent, other support staff).
3. If jointly sponsored, the role of each agency and school district must be described.

### H. QUALIFICATIONS OF PROGRAM PERSONNEL

1. Explain the certification and qualifications of personnel to work with potential dropouts and returning dropouts. Certification credentials must match the level (elementary, middle, and/or high school) for which services are provided.
2. If staff members do not have adequate qualifications or certification, provide an explanation of how expertise will be gained.

### I. STAFF UTILIZATION PLAN

1. Indicate the person(s) responsible for the dropout program and/or potential dropout program.
2. Describe the plan of how staff working with returning dropouts will work with other existing staff—some coordination must be indicated.
3. Indicate the specific allotment of time designated for staff coordination and in-service.


### J. STUDENT IDENTIFICATION PROCEDURES

1. Include plan for student identification—the plan must include identification of potential dropouts and returning dropouts as defined under Chapter 61, Iowa Administrative Code (Appendix B).
2. **NOTE:** Students at risk are included in the potential dropout category.
2. Student identification procedures should be congruent with the designated services that will be provided.
3. Multiple criteria should be utilized to identify students and their learning problems.

### K. FACILITIES AND EQUIPMENT

1. Indicate the exact location of schools, programs, and support services (building, addresses).

### L. ADVISORY COUNCIL

1. Identify the advisory council members and list the name, occupation, and address of the participants. The following representatives shall be a part of the council: parent, student, administrator, teacher or counselor, business or industry person, service agency representative.
  2. Identify the planned use of the council (schedule, responsibilities, and planned approach—individual vs. group input or both).
-  **NOTE:** Students are required participants for advisory committees under increased allowable growth for dropouts and dropout prevention. Local experience indicates that students are somewhat reluctant to participate unless special efforts are made to encourage and assist their involvement. An example of a special effort is to interview students individually or in-groups and share the interview with the advisory committee via video or audiotape. Students could then respond to questions.

**Example Format for Aligning Needs, Objectives,  
Staff Responsibilities, Evaluation, and Expected Outcomes**

The following format is suggested as the best way to align needs, objectives, staff responsibilities, evaluation methods, and expected outcomes. Utilization of this format greatly facilitates reading and approval of applications and assists local staff in planning and evaluation. This type of formatting would satisfy the requirements for Sections B, C, E, and G of the plan narrative (Appendix C of the guidelines).

NEED	OBJECTIVE	STAFF RESPONSIBILITY	EVALUATION METHOD	EXPECTED OUTCOME
Over 70% of our low achievers (failing one or more subjects) demonstrate poor attendance (miss school at least one day per week)	Contact students by phone and individual visits when absence is known (mornings) to encourage attendance. Establish friendship force identifying peer helpers to encourage attendance.	Counselor	Attendance— Records/Review	100% of our low achievers will improve their attendance compared to past records.
90% of our middle school students are failing one or more subjects	Provide individual tutoring assistance for all students using four strategies: 1) before and after school tutoring, 2) Saturday tutoring, 3) study hall instructor assistance, 4) peer helper program.	Extended contract staff—certified (funded via this application)  All Staff  Counselor (funded via this application)	Grades, Records, and Standardized Testing (TTBS) (TTED)	100% of the students failing one or more subjects will improve their grades to passing.
100% of our graduates not going on to post-secondary training and who needed support assistance to graduate did so in the past without developing a career plan.	Conduct a career planning course including individual counseling, employment service assistance, and work experience (including FTA).	Work experience coordinator (funded via this application)	Portfolios including Individual Career Plans	100% of our graduates needing support assistance to graduate will have completed a career portfolio that can be used to seek employment. The portfolio will include a personal career plan using the Individual Career Initiatives' format.
70% of our high school teaching staff indicate that they do not feel adequately trained to handle difficult children.	All staff at the high school level will complete 18 hours of training during the next year, utilizing video tapes and individual printed materials on how to handle difficult students. The training will be coordinated through _____ university or college.	Curriculum Coordinator	Records of Completion, Informal Survey of Staff	100% of the teachers will express increased confidence in handling difficult students. Additional needs for training will be identified.

## APPENDIX D

### Definitions

***Orientation and Transition Services:*** Some students need assistance when promoted into kindergarten, elementary school, junior high school, senior high school and the world of work or post-secondary training. For some students, the transition from one environment to another is too awesome to handle and failure identity behavior will be exhibited. Example orientation and transition services include: prekindergarten orientation to facilities, toys, equipment, people, materials; junior high transition days allowing orientation to teaching styles, organizing assignments for multiple classes, adjusting to multiple teachers, following a schedule, etc.; transition into employment allowing several months to develop a career plan or training plan, arrange housing, connect with support services, arrange financing for education, etc.

***Vocational Student Appraisal/Assessment:*** Vocational assessment is: (a) the identification of interests, abilities, skills and attitudes, and likes and dislikes related to entering competitive and non-competitive work and post-secondary training; (b) the determination of career development via career education inventories (formal/informal); (c) the identification of individual strengths (academic, personal/social, performance) used in career counseling, job matching, personal career plans, etc.

***Counseling:*** Formally arranged individual and/or group interaction between students/family members with counselors (teachers, counselors, peers, administrators) conducted to: develop positive self-concepts; solve personal concerns; improve family or peer relations; assist in emotional adjustments; discover special abilities; evaluate aptitudes, abilities, interests or skills; develop occupational plans; prevent dropping out; resolve educational difficulties; evaluate choices; set and follow-up on goals; other.

***Remedial, Tutorial, or Supplemental Instruction:*** Additional time and assistance for students conducted in segregated or integrated environments to improve student performance in academics, personal/social interaction, and/or career development. These activities are characterized by: (a) additional time and/or person power being devoted to students to improve their performance; (b) are chosen and acceptable by students; and (c) parents/guardians are involved for reinforcing/expanding learning activity time.

***Placement:*** Education/work activities designed to assist students in entering special training programs, advanced education, or employment. Examples include: assisting students in filling out applications for admission, jobs or financial aid; coordinating placement interviews with colleges, employers and job service personnel; assisting students with transportation arrangements, housing arrangements or special agency services to allow them to enter employment, post-secondary training or special training programs while still enrolled in elementary, junior high or senior high school.

***Follow-up:*** Activities designed to cause students and school staff to pursue the accomplishment of the goals of students such as reviews or checkpoint monitoring (i.e. performance on a job). As well, activities to study how well students are doing upon leaving school (graduated or dropped out). The “productivity” of students after leaving school can be checked by monitoring at least nine areas: the income they generate by employment, participation in the political process and homemaking/child rearing, the development of talents and skills not used in job/leisure, involvement in public assistance, penal system involvement, and work behavior evaluations in areas such as punctuality, cooperation, flexibility, initiative, work attendance, verbal communication, and acceptance of responsibility.

***Transportation:*** Attending school or transportation to bus routes or to school where buses are not provided is a major obstacle for some students and parents. Students should not be denied education solely on the basis of transportation. Examples of special transportation initiatives that can be considered include: transporting children living in shelters, especially during the winter months; home pick up for unmotivated students or those located far from bus routes with no means of transportation; transporting highly mobile children back to a school within the same district to ensure that they continue their schooling in the same school for a full year.

***Family Support Services:*** Activities designed to help parents/guardians to know what to do to help their children learn, solve personal concerns, improve family relations, develop career plans for their children, make decisions on educational choices, identify financial assistance and other sources of support. Moreover, activities to help parents value education, contribute to their child’s development and be a co-decision maker and time sharer with their children (See “Guidelines for Serving At-Risk Students,” Department of Education, 1996, for seventeen specific ideas).

## Annual Evaluation

DATE: August 2001

TO: All School Districts Implementing Dropout and Dropout Prevention Schools, Programs and Support Services under Increased Allowable Growth Chapter 257.38-41, School Laws of Iowa

SUBJECT: **Annual Evaluation—(For Reference to Assist in Planning for Year-end Reports—Not to be Submitted with Applications)**

The formats for completing an annual evaluation of your 2001-2002 dropout and dropout prevention schools, programs and/or services are enclosed. An evaluation should be submitted by July 30, 2002. However, extensions can be arranged by submitting a letter identifying the need for an extension, the time needed to complete the evaluation and a target date of when the evaluation will be submitted. All evaluations **must be** completed by September 1, 2002.

The evaluation is also accessible via the Internet using the following address:

<http://www.state.ia.us/educate/grants>

An appendix has been added to this evaluation which contains definitions to assist you in its completion. If you have problems, please feel free to contact this office for assistance.

We will continue to work on the evaluation procedures via involving local districts. The purpose is to improve the monitoring of personal/social development and career/vocational development. The data being collected will be used to seek new support for school districts and to provide direction in designing local programs. Information on personal/social development and career/vocational development is being emphasized since these two areas represent areas of critical concern on which little information is being collected, studied, and monitored over time at the local or state level. These areas are extremely difficult to evaluate. Therefore, your cooperation and patience will be greatly appreciated as we collectively work to create practical and valuable evaluations.

Respectfully,

Dr. Raymond E. Morley, Consultant  
Bureau of Instructional Services  
(515) 281-7697  
[margaret.edwards@ed.state.ia.us](mailto:margaret.edwards@ed.state.ia.us)

REM/mhe

The complete 2001-2002 Increased Allowable Growth Evaluation is on the Internet.